

# Introduction to the Workshop and its Materials

**Time Estimate:**

Lecture 30 minutes

Icebreakers 15 minutes

Total Time: 45 minutes

## PREPARATION

- » You will need to refer to your reference-material training kit.
- » You already should have gone through the Instructor's Checklist of preparations.
- » All registration procedures must be completed **before** you begin this session.

*By the end of this session, you will be able to:*

- *recognize the main features of the workshop and*
- *use the workshop materials effectively.*

## INTRODUCTION

Welcome to the Precertification Workshop for institutions hoping to participate in federal student aid programs.

This workshop will be very important to you. It will cover the basic concepts that you'll need to know to properly manage federal student financial aid programs.

- In this session, we'll discuss how best to use the training materials we give you, so you can get the most benefit from this workshop and have helpful reference materials afterward.
- We'll outline the main features of the workshop as well.
- A final point we'll cover is the use of financial aid consultants.

But before we begin, we need to tell you who we are and explain some of the ground rules for the workshop.

Let's start by introducing the team of instructors...

- » Introduce yourself. Tell them your **name, job, city, financial aid experience, and so on.**
- » Then introduce the other instructors or allow them to introduce themselves.
- » Depending on the size of the group, have the participants introduce themselves or use other icebreakers to make the introductions—see page 13 of this session for ideas. Take 15 minutes for this exercise.

Now let's turn to the ground rules and helpful information for the workshop.

- The smoking policy is...
- Restrooms are located...
- Telephones are located...
- After breaks and lunch, it's very important to be back here on time for the beginning of the next session. The sessions will begin on time.
- For certification purposes, your attendance must be properly documented. This will help assure favorable processing of your school's application to participate in federal student financial aid programs.
  - Therefore, you must follow these sign-in procedures...
- » Explain the sign-in procedures at your workshop.

## USING THE WORKSHOP MATERIALS

You should have these materials for this workshop:

- *The Participant's Workbook,*
- *The 1998-99 Federal Student Financial Aid Handbook,*

## Instructor's Notes

### Icebreakers

## Instructor's Notes

- *The 1998-99 Student Guide*, and
- The 1998-99 Free Application For Federal Student Aid (FAFSA)

You will use these publications often during the workshop.

The *Participant's Workbook* is designed to help you actively participate in this workshop. There is a section of the Workbook devoted to each workshop session. Please turn to Session 1, page 1, of your Workbook now. Each session follows this same format:

**PW 1**

- The first page of each session has a gray box that shows the **main objective or objectives** in the session.
- In the "Resources" section, for each main topic in a session, your Workbook usually contains **references** to the current *Federal Student Financial Aid Handbook*, which we'll usually just refer to as the Handbook. It also might list other publications to use as resources.
- Under "Session Contents," there is a brief outline of what the session covers.
  - The Workbook does contain lecture notes on many topics, but not on *everything* we will discuss.
  - That's because a lot of the material we'll cover is in the Handbook.
  - In many cases, the Handbook will have far more details than we can cover, even in this five-day workshop.
  - So, after this workshop is over, you will need to continue developing your knowledge and skills by reading the Handbook and other manuals.

Now turn to page 2 in your Workbook. Following the session contents, there's a "Need to Know" section that details specific information discussed in the session.

**PW 2-4**

## Instructor's Notes

**PW 5**

Normally following “Need to Know” is “Practice,” which contains hands-on activities. Following “Practice” is “Back at the Office,” which gives suggestions for what to do when returning to work. This is on page 5. Then would come the “Answer Key” to the “Practice” exercises. Finally, each session ends with that session’s overheads reproduced for your convenience.

Remember, your *Participant’s Workbook* was designed to help you get the most out of this workshop and to point out places in the Handbook to read for more in-depth information.

- The Workbook was **not** designed to cover “everything you ever wanted to know” about federal financial aid management, nor was it meant to be used as a reference manual.
- The *Participant’s Workbook* is designed to reinforce concepts presented in each session. It includes useful charts, exercises, case studies, and examples.

The Workbook has several appendices that you’ll probably use frequently during this workshop:

- Appendix A—an acronym listing—writes out the full meanings of acronyms, of which there are many in financial aid administration.
- Appendix B—a glossary—defines financial-aid-related terms and concepts.
- Appendix D—a source and citation listing—provides a listing of Title IV references.

Be sure to look up any unfamiliar terms or acronyms in these appendices. Or ask us about them.

Let’s look next at *The 1998-99 Federal Student Financial Aid Handbook*. As we noted, we’ll usually just refer to it as the Handbook.

Take a moment and flip through the Handbook.

**Instructor's Notes**

- You'll find that the Handbook is divided into chapters, with each chapter dealing with a major topic in financial aid.
- For example, Chapter 4 is on the Federal Pell Grant Program, while Chapter 10 is on the Federal Family Education Loan Program.

For anyone with responsibilities in student financial aid, the Handbook becomes an indispensable source of help, information, and guidance.

- If you are new to financial aid administration, you might find the Handbook hard to use at first.
- Hang in there—as you become more experienced, you'll find the Handbook getting easier and easier to use.
- One of the goals of this workshop is to give you a running start in using the Handbook effectively.

If you want to take notes during the workshop, we've found that a good technique is to write your notes directly in your **Handbook** rather than in your Workbook.

The third source you'll be using often is *The 1998-99 Student Guide*. This is a basic compilation of student aid materials designed to help high school students, their parents, and secondary school personnel understand financial aid.

- It also serves as a great reference for some vital facts, such as loan limits and deferment provisions.
- Students at your school can also read this to get a basic understanding of student financial aid.
- The U.S. Department of Education—ED, as we'll call it—has numerous specialized reference publications for your use. A few that you should be aware of are listed on page 2 in your Workbook.

**PW 2**

They are:

» Hold up each publication as you name it.

- the *Verification Guide*;
- the *Title IV School Code List*;
- the *Current Regulation Compilation*;
- the *Blue Book* (July 1995);
- the *Audit Guide* (December 1996);
- the *1998-99 EFC Formula Book*;
- the *1998-99 Counselor's Handbook* (high school edition);
- the *A Guide to 1998-99 SARs and ISIRs*;
- *Ayuda Federal Para Estudiantes* (Federal Aid for Students); and
- the *Spanish FAFSA*.

Useful information on these and other resources is in Appendix C of your Workbook.

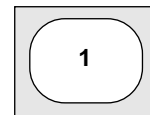
If you would like to order a copy of these or other ED publications/resources, you should contact ED directly. You'll find this ordering information in your *Participant's Workbook*, too, at the bottom of page 2. (OH 1)

All this week, we'll be leaving a wide range of ED publications on our "library" table.

- You can take time during breaks or lunch hours to look over these publications.
- Give everyone a chance to see them; please don't remove the publications from this room.

## Instructor's Notes

\*This publication is updated and distributed yearly.



**PW 2**

## WORKSHOP AGENDA, GOALS, MAIN OBJECTIVES, AND TARGET AUDIENCE

The workshop agenda is divided into 28 sessions over five days.

The first two days of the workshop, which include the first 11 sessions, are designed for the Chief Executive Officer (CEO) or President along with the financial aid administrator (FAA).

- These sessions offer an overview of financial responsibilities and eligibility criteria so attending the first 11 sessions is mandatory for both the chief administrator **and** the financial aid administrator at a school going through the certification process.

Sessions 12 through 28 , which will last the rest of the week, include the details of each program, along with the calculation of awards, refunds, and repayments.

- The financial aid administrator at every school seeking certification to participate in federal student aid programs must attend all 28 sessions.

In its entirety, this workshop has two goals:

- to introduce you to the basic procedures, requirements, and responsibilities for properly administering Title IV programs, and
- to make you an informed self-starter, able to use ED's publications to find whatever information you need after the workshop is over.

To achieve these goals, each of you should keep these two important questions in mind during the workshop: (OH 2)

- What issues will have the greatest **impact on my school?**

### Instructor's Notes

#### Workshop agenda

#### Workshop goals


 2

Instructor's Notes	
<p>■ What do I need to do to be <b>ready to manage</b> student financial aid when my school is fully eligible and certified?</p> <p>The main objectives of the workshop are to help schools:</p> <ul style="list-style-type: none"> <li>■ identify basic Title IV program requirements and responsibilities;</li> <li>■ demonstrate a working knowledge of the Title IV delivery process;</li> <li>■ identify and use Title IV reference materials and resources;</li> <li>■ devote adequate resources to administrative systems and personnel for Title IV programs;</li> <li>■ recognize the responsibilities a school accepts when participating in Title IV programs;</li> <li>■ recognize the importance of ensuring proper administrative coordination and control; and</li> <li>■ identify effective financial aid management procedures to avoid potential problems and resulting liabilities.</li> </ul> <p>Let's take a moment right now to explain exactly what is meant by "Title IV." "Title IV" refers to the federal student aid programs that are legally authorized by Congress (that is, established under law) in the Higher Education Act of 1965, as amended (HEA). These programs are for students enrolled in postsecondary schools.</p> <p>"Title IV" is one of 15 "titles" in the HEA; it creates most of the federal student aid programs. Each title is divided into "chapters," "parts," "subparts," and "sections."</p>	<p><b>Workshop objectives</b></p>



**Instructor's Notes**  
**PW 3**

Look now on page 3 of your Workbook. We will be discussing the following Title IV, HEA-authorized financial aid programs in this workshop (along with reg sections):

- the Federal Pell Grant Program (690);
- the Federal Supplemental Educational Opportunity Grant Program, or FSEOG (676);
- the Federal Work-Study Program, or FWS (675) ;
- the Federal Perkins Loan Program (674);
- the subsidized Federal Stafford Loan Program (682);
- the Federal Unsubsidized Stafford Loan Program (682);
- the Federal PLUS Loan Program (682);
- the Federal Direct Subsidized Loan Program (685);
- the Federal Direct Unsubsidized Loan Program (685);  
and
- the Federal Direct PLUS Loan Program (685).

In addition to the HEA, which contains nearly all the relevant law that governs federal student aid programs, the U.S. Secretary of Education (hereafter, referred to as the Secretary) has the authority to issue regulations that set out rules schools must follow in administering these programs.

The law and the regulations are generally divided into a section for each student aid program. There is also a broad section called “General Provisions,” which contains rules that apply to all Title IV programs.

	Instructor's Notes
<p>Section 668.13 of the Title IV Student Assistance General Provisions' regulations requires that a school's chief administrator—or in the case of a not-for-profit school, another designated administrative official—and the financial aid administrator must complete this workshop <b>prior</b> to the Secretary certifying the school to participate in any of the Title IV programs.</p>	
<p>Thus, the target audience for this workshop is personnel from postsecondary schools that have been determined <b>"eligible" to apply for certification</b> to participate in one or more Title IV student aid programs and have submitted or plan to submit an application for certification.</p>	Target audience
<p>The workshop concentrates on <b>basic</b> procedures and requirements, so it will be especially helpful for school personnel with little or no experience in Title IV aid administration.</p>	
<p>» Take 5 minutes to find out from the participants what programs their institutions have applied for or plan to apply for, as well as the number of years the financial aid administrators have administered Title IV student aid. Do any of the chief administrators have strong Title IV backgrounds?</p>	
<p>Administering Title IV programs is a complex and time-consuming process.</p>	
<ul style="list-style-type: none"><li>■ Even though this workshop lasts approximately two days for chief administrators and five days for financial aid administrators, the training covers only <b>basic information</b>.</li><li>■ Therefore, <b>additional study and on-going training are necessary to ensure proper program administration</b>.</li></ul>	
<p>Are there any questions about the workshop?</p>	
<p>We are now at page 4 of your Workbook.</p>	<b>PW 4</b>

## Instructor's Notes

**USING FINANCIAL AID CONSULTANTS AND SERVICERS**

Are there any financial aid consultants or servicers here today?

ED neither encourages nor discourages the use of financial aid consultants or servicers.

However, you must remember that **the school and its officers have the ultimate responsibility** for administering Title IV programs in accordance with laws and regulations.

Any financial liabilities resulting from administering Title IV programs are **solely** the institution's.

Recent regulations outline the responsibilities of third-party servicers and the possible liabilities servicers can incur. If you are planning to use a servicer in connection with your federal student aid programs, you should be familiar with the requirements in parts 668, 682, and 690 of the federal regulations. As you will have to report information to ED, it also will be necessary for you to read "Dear Colleague" Letter GEN-95-13, published in February 1995.

ED's experience in routinely auditing large numbers of schools that participate in Title IV programs is that some schools do not have qualified **on-site** financial aid personnel who fully understand the responsibilities and obligations of administering these programs. As a consequence, these schools have suffered financial liabilities and have been required to return large sums of Title IV program funds.

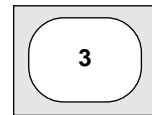
- Therefore, if any of the chief administrators here today designated a financial aid consultant as the **only** financial aid representative to attend the training, it is **strongly recommended** that an on-site financial aid employee from your institution **also attend** a future training workshop.

**Instructor's Notes**

Please note: Because this workshop is primarily designed to be a learning experience for school personnel, consultants should **not** use this setting to market their services or to ask advanced or detailed technical questions that are beyond the scope of this workshop. Please ask any detailed questions in a private conference with one of us during a break.

NASFAA—the National Association of Student Financial Aid Administrators—has a pamphlet called “On Choosing, Using, and Appraising a Student Financial Aid Consultant.”

If you plan to use a financial aid consultant or servicer, and you’d like a copy of the pamphlet, contact NASFAA. You’ll find the information from this overhead on page 4 of your Workbook. (OH 3)

**PW 4****BACK AT THE OFFICE**

“Back at the Office” appears at the end of each session in your Workbook. Here it’s on page 5 of your Workbook. It is designed to serve as a reminder checklist once you’re back in the office. The checklist includes blank lines for you to jot down additional ideas of what you need to do when you get back.

**PW 5**

Take a minute to look at the “Back at the Office” checklist for our introduction session.

Before we move on to the next session, are there any questions?